

# Financial Crimes Enforcement

## Performance Plans for FY2002 and FY2003

Actual Performance Figures are in **bold**, Final Targets are in plain text, and Proposed Targets are *italicized*.

Targets which were not met are shown in red.

**Mission:** The mission of the Financial Crimes Enforcement Network is to support law enforcement investigative efforts and foster interagency and global cooperation against domestic and international financial crimes;and to provide U.S. policymakers with strategic analyses of domestic and worldwide money laundering developments, trends, and patterns. FinCEN works toward those ends through information collection, analysis, and sharing, as well as technological assistance, and innovative, cost-effective implementation of the Bank Secrecy Act and other Treasury authorities.

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**Budget Activity:** Financial Crimes Enforcement Network

**Function:** All efforts accomplished by The Financial Crimes Enforcement Network are under one activity.

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**Performance Goal:**

Supporting the Financial Aspect of Investigations: To provide quality and timely investigative support and networking to FinCEN's customers for money laundering, terrorist financing, and other financial crime cases.

	<b>FY1999 Actual</b>	<b>FY2000 Actual</b>	<b>FY2001 Actual</b>	<b>FY2002 Final Plan</b>	<b>FY2003 Proposed Plan</b>
<b><u>Performance Measure(s):</u></b>					
View Definition and Validation					
Percentage of law enforcement customers satisfied with FinCEN's investigative analytical reports [BASELINE IN FY 2002]					View Explanation

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**Performance Goal:**

Identifying Financial Crime Trends and Patterns: To provide useful information to law enforcement, regulators and financial institutions about trends, patterns, and issues with money laundering, terrorist financing, and other financial crimes. [FY 2000/2003 GOAL]

	<b>FY1999 Actual</b>	<b>FY2000 Actual</b>	<b>FY2001 Actual</b>	<b>FY2002 Final Plan</b>	<b>FY2003 Proposed Plan</b>
<b><u>Performance Measure(s):</u></b>					
View Definition and Validation					
Percentage of customers (financial institutions) satisfied with FinCEN's analytical products that identify trends and patterns of suspect financial activities [BASELINE IN FY 2002]					View Explanation

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**Performance Goal:**

Administering the Bank Secrecy Act: To administer effectively the Bank Secrecy Act in order to support the prevention and detection of money laundering, terrorist financing, and other financial crimes. [FY 2000/2003 GOAL]

	<b>FY1999 Actual</b>	<b>FY2000 Actual</b>	<b>FY2001 Actual</b>	<b>FY2002 Final Plan</b>	<b>FY2003 Proposed Plan</b>
<b><u>Performance Measure(s):</u></b>					
View Definition and Validation					
Average time to process a civil penalty case measured in years	2	1.8	1.8	1.8	1.7

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**Performance Goal:**

Strengthening Management Support: To build efficient and effective management processes and administrative support to accomplish FinCEN's mission. (FY 2000/2003 goal)

	<b>FY1999 Actual</b>	<b>FY2000 Actual</b>	<b>FY2001 Actual</b>	<b>FY2002 Final Plan</b>	<b>FY2003 Proposed Plan</b>
<b><u>Performance Measure(s):</u></b>					
View Definition and Validation					
Percentage of employees who are satisfied with their job [baseline to be established in FY 2002]					

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### **Performance Measure**

Percentage of law enforcement customers satisfied with FinCEN's investigative analytical reports [BASELINE IN FY 2002]

#### **Definition and Validation**

Definition: FinCEN's case support includes providing analytical reports to law enforcement. The purpose of this measure is to ascertain whether our Federal law enforcement customers are satisfied with FinCEN's analytical reports. A telephonic survey will be conducted twice a year. FinCEN will attempt to reach all of the relevant customers receiving a report during the fiscal year in order to assure a representative outcome from a relatively small population (several hundred customers). The survey will be initiated in FY 2001 for purposes of establishing a baseline.

Verification and Validation: Each investigative request for research is assigned a unique case number and entered into a database for tracking and informational purposes. A survey will be conducted telephonically on a randomly selected set of cases designated as "closed". Results will be recorded in a database for further analysis.

Data Accuracy: Reasonable Accuracy

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### **Performance Measure**

Percentage of customers (financial institutions) satisfied with FinCEN's analytical products that identify trends and patterns of suspect financial activities [BASELINE IN FY 2002]

#### **Definition and Validation**

Definition: FinCEN provides a variety of different products to regulators, financial institutions, and law enforcement, which examine the 'macro-level' issues regarding money laundering and other financial crimes. Examples of these products include analytical assessments of geographic regions or specific industries, identification of money laundering methodologies, and analysis of suspicious activity reports. The purpose of this measure is to ascertain the value of these specialized products as reported by our customers. Data for this measure will be collected in three phases, starting in 2001 with traditional financial institutions (banks). Customer satisfaction data will be obtained using a survey instrument developed by the American Bankers Association (ABA) in coordination with regulatory and law enforcement representatives of the Bank Secrecy Act Advisory Group. In the second phase, the ABA survey methodology will be adapted in 2002 for annual use with non-bank financial institutions and law enforcement customers, and in the third and final phase (2003) for use with federal financial regulators.

Verification and Validation: Data for this measure will be obtained using a survey instrument developed by the Surveys Division of the American Bankers Association (ABA). The ABA will validate the results using standard statistical models.

Data Accuracy: Reasonable Accuracy

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### **Performance Measure**

Average time to process a civil penalty case measured in years

#### **Definition and Validation**

Definition: FinCEN has the responsibility for overseeing enforcement of financial institutions for BSA compliance. Using CY 1997 as a base, the GAO reported that the average processing time was 4.23 years for civil penalty cases. This measure tracks processing time for civil penalty matters received after January 1, 1998. (Previous cases were considered as a backlog and were processed as soon as possible.) The enforcement matters are entered into the automated log and evaluated to determine whether there is enforcement potential through a civil monetary penalty or otherwise. FinCEN has established time management guidelines to reduce the average processing time for civil penalty cases.

Verification and Validation: The data for this measure is captured through an internal database that tracks civil penalty cases. The database records the date cases are received, the analyst assigned, the statute of limitations date, and the date each case was closed.

Data Accuracy: Reasonable Accuracy

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### **Performance Measure**

Percentage of employees who are satisfied with their job [baseline to be established in FY 2002]

#### **Definition and Validation**

Definition: This measure provides an indication of the number of employees who are satisfied overall with their job, as a percentage of the total. Employees are FinCEN's most important resource, and employee satisfaction is key to achieving

excellence in customer satisfaction and business results.

**Verification and Validation:** FinCEN will utilize a contractor to develop a survey instrument and conduct the survey in order to ensure privacy for survey respondents. The survey will be conducted in FY 2002. The first year will establish a baseline for future evaluations. FinCEN will require the contractor to employ appropriate verification and validation procedures.

**Data Accuracy:**

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**Explanation:FY2001**

**Performance Measure:**

Percentage of law enforcement customers satisfied with FinCEN's investigative analytical reports [BASELINE IN FY 2002]

Survey was modified based on the pretest in FY 2001. We hope to establish a baseline with the revised survey in FY 2002.

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**Explanation:FY2001**

**Performance Measure:**

Percentage of customers (financial institutions) satisfied with FinCEN's analytical products that identify trends and patterns of suspect financial activities [BASELINE IN FY 2002]

Data is from a survey administered by American Bankers Association. We have not yet received the survey results.